

David Wetzel

Notice of Intent to Invoke Administrative Sanctions

DATE: November 14, 2003 RESPONDENT: David Wetzel ALLEGATIONS: Exercising Discretionary Power Without Written Authority & Unsuitable Recommendations ORDER: Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act alleging David Wetzel while acting as a broker-dealer made unsuitable recommendations and exercising discretionary power without written authority. The notice alleges that as result of the alleged violations a Kansas resident lost approximately \$15,000.

Consent Order

DATE: April 22, 2004 RESPONDENT: David Wetzel ALLEGATIONS: Making unsuitable recommendations ORDER: Respondent entered into a Consent Order whereby David Wetzel was censured for engaging in an unethical practice in the securities business by recommending the purchase of securities without reasonable grounds to believe that such transactions or recommendations were suitable for the customer.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.